


UNITED STATES PATENT AND TRADEMARK OFFICE

#17

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/498,375	02/04/2000	1753	3946	0557-4909-3	38	80	19

22850
 OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.
 1940 DUKE STREET
 ALEXANDRIA, VA 22314

CONFIRMATION NO. 8731
CORRECTED FILING RECEIPT

 OC00000010076419

Date Mailed: 05/20/2003

Receipt is acknowledged of a CPA in this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kazunori Ito, kANAGAWA, JAPAN;
 Katsunari Hanaoka, Kanagawa, JAPAN;
 Hiroshi Deguchi, Kanagawa, JAPAN;
 Nobuaki Onagi, Kanagawa, JAPAN;
 Kiyoto Shibata, Kanagawa, JAPAN;
 Yasutomo Aman, Kanagawa, JAPAN;
 Hiroshi Mura, Kanagawa, JAPAN;
 Wataru Ohtani, Kanagawa, JAPAN;
 Hajime Yuzurihara, Kanagawa, JAPAN;
 Masaru Shinkai, Kanagawa, JAPAN;

Domestic Priority data as claimed by applicant
Foreign Applications

JAPAN 11-031952 02/09/1999
 JAPAN 11-210671 07/26/1999
 JAPAN 11-273894 09/28/1999
 JAPAN 11-290494 10/13/1999
 JAPAN 11-321377 11/11/1999
 JAPAN 11-323734 11/15/1999
 JAPAN 11-197298 07/12/1999
 JAPAN 11-304096 10/26/1999
 JAPAN 2000-20005 01/07/2000

If Required, Foreign Filing License Granted: 04/06/2000

CPA filed on: 05/14/2003

Projected Publication Date: 08/28/2003

Non-Publication Request: No

Early Publication Request: No

Title

Optical device substrate film-formation apparatus, optical disk substrate film-formation method, substrate holder manufacture method, substrate holder, optical disk and a phase-change recording type of optical disk

Preliminary Class

428

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).